4. Management Document Hierarchy

The OST document hierarchy provides procedural guidelines for how to conduct OST activities and how to communicate in the multidimensional DOE project-oriented environment. This hierarchy of documents establishes the linkage from the department's high-level policy statements to implementation at the field project level. The document hierarchy lays out the authority for the OST program structure and the OST management approach for accomplishing its mission. These OST policies, procedures, forms, and guidelines provide the tools for delineating the process, as well as the format for the orderly and standardized collection, processing, and communication of OST data.

The OST document hierarchy is used to advance OST activities from program planning through to program execution and evaluation. The flow of information in the documents begins during the planning phase of OST program management and culminates with documents that report the details of specific programmatic implementation activities. This flow of document hierarchy is a key aspect of the OST management flow process discussed in Chapter 5 of this document.

OST uses several documents in planning and managing the program. Strategic plans (e.g., DOE/EM Strategic Plan, EM Research and Development Program Plan, Programmatic and Project-Level Roadmaps) describe OST program management philosophies. Lower-level management documents (e.g., OST Management Plan, Multi-Year Program Plans, and Technical Task Plans) describe approaches, structures, and processes used by OST. Figure 4.1 illustrates the relationship and hierarchy of the key documents used by OST.

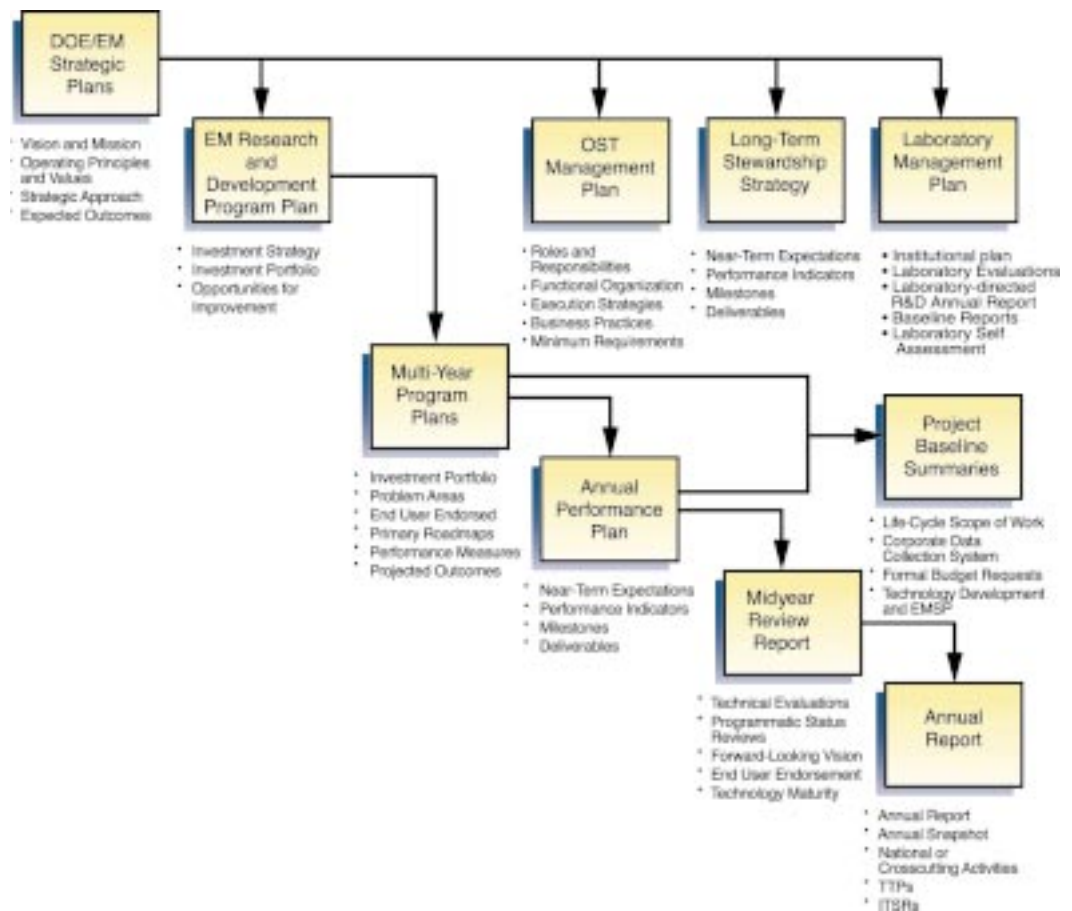A brief description of each document in the OST document hierarchy is provided below.

Figure 4.1 OST document hierarchy and relationships

Environmental Management Strategic Plan for Science and Technology - The strategic plan is updated every five years by DOE headquarters in conjunction with other EM organizations and stakeholders. It provides the vision and mission for EM investments in research and development; establishes operating principles and values for the EM science and technology program; and sets the strategic and tactical approach for EM research and development activities, including expected outcomes. This EM strategic planning document identifies hundreds of new enabling technologies and additional data, knowledge, and understanding needed to develop alternative approaches that can reduce cost and/or programmatic risk or accelerate the schedule for EM cleanup activities.

Environmental Management Research and Development Program Plan - The research and development program plan is updated every two years by DOE headquarters in conjunction with other EM organizations and stakeholders. It describes EM's investment strategy for the next five years including problem areas, desired end states and the approach being used to estimate and maximize the impact of EM's investments. It summarizes the investment portfolio in relation to the problem areas. The program plan also identifies opportunities for improvement in EM's research and development management.

Office of Long-Term Stewardship Program Management Strategy - This management strategy describes roles and responsibilities, functional organization relationships, and processes of the long-term stewardship program that will be implemented to ensure human health and the environment remain protected after cleanup. The strategy describes how the office will ensure sites are monitored to detect contaminant migration, site containment intrusion, and that barriers and treatment facilities are maintained in a safe, timely and cost effective manner. It also describes (1) how long-term stewardship research and development needs are determined; (2) what is needed to provide more permanent remedies, as appropriate, and more cost-effective and reliable monitoring; and (3) how long-term stewardship is linked to the focus areas and EMSP.

Laboratory Management Plan - The Laboratory Management Plan is updated every two years by DOE headquarters. It deals principally with the role of EM as the cognizant secretarial officer for the EM laboratories, and the role of EM, appropriate field offices, and the laboratories in implementing EM laboratory responsibilities. The Laboratory Management Plan 1) defines the basis and requirements for each cognizant secretarial officer function, 2) identifies roles and responsibilities of various DOE elements (e.g., headquarters, operations offices), and the EM laboratories in meeting DOE requirements, and 3) outlines processes related to cognizant secretarial officer functions. The plan also describes how intellectual property, work for others, and laboratory-directed research and development activities are managed within EM.

OST Management Plan – The OST Management Plan is updated every two years by DOE headquarters. It describes roles and responsibilities, functional organization relationships, and processes for executing strategies described in the *Environmental Management Research and Development Program Plan*. The plan details business practices performed by OST program elements (e.g., headquarters, focus areas, and sites), and defines minimum requirements for the program elements.

Multi-Year Program Plans (MYPPs) – MYPPs are prepared by focus areas and the EMSP on an annual basis. They contain detailed descriptions of EM's planned investment portfolio, research through deployment, for each problem area. Each MYPP reflects extensive discussion and planning between the focus area and end users or their representatives and is a five-year projection of the required research and development investments. The MYPPs are developed in conjunction with and endorsed by end users or their representatives, and are approved by focus area end user steering committees and field

and headquarters focus area managers. These documents are EM's primary science and technology roadmaps. They contain the problem sets, the planned technical investments, the performance measures, and the projected outcomes associated with those investments. They are used for planning purposes by end users and the science and technology community. They also form the basis of EM's research and development budget requests.

Project Baseline Summary – Project Baseline Summaries (PBSs) are updated annually by the field and are maintained in EM's corporate data collection system. Together, they provide the life-cycle scope of work for the entire EM program. The line programs, through site PBS data, identify technology needs and supporting information used as criteria for prioritizing OST work scope. Similarly, OST uses the prioritized multi-year program plan data to prepare PBSs that reflect the research and development baseline and long-range planning assumptions through FY 2020. PBSs are linked to the corporate budget and reporting structure to develop formal budget requests. OST life-cycle planning is summarized in two PBSs: (1) Technology Development, and (2) EM Science Program.

Annual Performance Plans – Annual Performance Plans (APPs) are prepared annually by focus areas and the EMSP to document each program's current year (i.e., budget execution year) performance indicators, milestones, and deliverables. Headquarters holds the focus areas accountable for performing the APPs. The APP is prepared and approved as an addendum to the MYPP.

Midyear Review Reports – Each focus area conducts annual programmatic reviews at midyear and documents the results of those reviews in a midyear review report. The midyear reviews combine the attributes of independent end user technical evaluations, programmatic status reviews, and forward-looking vision. The principle focus of the midyear review is end user endorsement and progress toward meeting end user require-ments. Midyear reviews also expose ongoing work to potential users, and guide current year adjustments. Progress and readiness of each project for advancement in technology maturity stage are documented in midyear review reports, which are prepared by the focus areas.

Annual Reports – Focus areas prepare annual reports. The annual reports constitute a yearly snapshot of the status of the national or crosscutting activity. Each annual report presents the organization's vision, strategies, mission, scope, and goals; management, organization, and integration with other programs; and fiscal year accomplishments and highlights. Discussions of performance measures, funds distribution, summary of investments, and identification of technologies by product line, are also included.

Technical Task Plans (TTPs)– TTPs are prepared by solution providers under the direction of TPOs and describe, in detail, the proposed solution or the technical approach to address a specific problem or set of problems. TTPs also describe the functional objectives or performance indicators of the solution or proposed technical work, the approach to meeting those objectives, and how their accomplishment will be measured. Approved TTPs constitute OST's current-year scope, cost, and schedule baseline. The sites are accountable to perform the work scope of the TTP.

Innovative Technology Summary Reports (ITSRs) – ITSRs are development products that provide potential technology users with the essential information they need to decide whether or not to deploy a solution. These reports provide a basis for comparing the application and effectiveness of a solution against existing baselines and other alterna-tives. Cost, safety and regulator-stakeholder issues are addressed. Technology vendors should be identified within each ITSR, with specific points of contact if available.

Technical Reports in the Open Literature – OST encourages publication of technical discoveries and results in refereed journals, as reviewed technical reports, and in other scholarly proceedings. Publication in peer-reviewed literature is generally recognized in research and development communities as a significant achievement and is considered to be an important measure of project performance. In addition to disseminating project accomplishments to the professional community, the publication process yields valuable feedback of ideas to project principal investigators and often spawns new innovations and leads to productive partnerships.

OST maintains document configuration control that includes review, approval, distribution, and change control in accordance with DOE Order 1324.5B, "Records Management." Table 4.1 shows roles and responsibilities for maintenance of key OST management documents.

Table 4.1 Management document maintenance roles and responsibilities

	AS	DAS	ODs	HQ Focus Area Manager	Field Focus Area Manager	User Steering Committee	TPO
EM R&D Program Plan	A	A	P	R	R	R	I
OST Management Plan	I	A	P	R	R	I	I
Project Baseline Summary	I	A	P	I	I	-	-
Multi-Year Program Plan*	I	I	R	R	P	A	I
Annual Performance Plan	-	-	-	A	P	R	I
Technical Task Plan	-	-	-	R	A	-	R

A   Approve–The approving party confirms the document in an official written correspondence. An approval is an indication that the document has the sanction of the approving party.

I   Information–The document is being sent to the party for information purposes, no action is required of that party.

P   Prepare–The party is responsible for preparation, revising, scheduling and gaining review and approval from all parties identified in the matrix.

R   Review and comment–The identified party is responsible for receiving the document and providing written comment within the time frame identified by the preparing parties.

★   Also reviewed by Lead Laboratory Manager and the host Site Assistant Manager for EM.